DOCUMENT RESUME

ED 455 429 CE 082 091

TITLE	Human Capital: A Self-Assessment Checklist for Agency Leaders. Version 1.
INSTITUTION	Comptroller General of the U.S., Washington, DC.
REPORT NO	GAO/OCG-00-14G
PUB DATE	2000-09-00
NOTE	40p.
AVAILABLE FROM	U.S. General Accounting Office, P.O. Box 37050, Washington, DC 20013 (first copy free; additional copies $2.00 each; 100 or more: 25% discount). For full text: http://www.gao.gov/special.pubs/cg00014g.pdf.
PUB TYPE	Guides - Non-Classroom (055)
EDRS PRICE	MF01/PC02 Plus Postage.
DESCRIPTORS	Administrators; Adult Learning; Check Lists; Definitions; Evaluation Criteria; *Evaluation Methods; Guidelines; *Human Capital; *Job Performance; Labor Force Development; *Leadership Training; Management Development; Models; Organizational Climate; Organizational Development; Performance Based Assessment; Personnel Evaluation; *Personnel Management; Postsecondary Education; Private Sector; Public Agencies; *Self Evaluation (Groups); Strategic Planning
IDENTIFIERS	Malcolm Baldrige National Quality Award; Presidential Quality Award

ABSTRACT

This document presents and discusses a self-assessment checklist that the General Accounting Office (GAO) developed to enable agency leaders to examine their human capital efforts through a process consisting of the following stages: analyze and plan; implement change; and evaluate and continuously improve. The preface defines the term "human capital," explains why agencies should conduct a human capital self-assessment; and outlines the basis for the GAO's approach to self-assessment. Presented next is an overview of the GAO's five-part framework for human capital self-assessment, which consists of the following components: (1) strategic planning; (2) organizational alignment; (3) leadership; (4) talent; and (5) performance culture. Seven cross-cutting considerations unifying the five components are also briefly considered. The next five sections discuss one of the framework's five parts in detail. Each discussion includes things to consider and key questions to ask when implementing the specific phase of the assessment process. The following items are appended: (1) 8 principles for managing people; (2) 10 key human capital management principles from 9 private sector organizations; (3) discussion of the criteria used to select Baldridge Award and Presidential Quality Award winners; (4) 17 useful measures/risk indicators for human capital management; and (5) list of 32 related GAO products. (MN)

ED 455 429

United States General Accounting Office

GAO

Office of the Comptroller General

September 2000
Version 1

HUMAN CAPITAL

A Self-Assessment Checklist for Agency Leaders

U.S. DEPARTMENT OF EDUCATION
Office of Educational Research and Improvement
EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)
☑ This document has been reproduced as received from the person or organization originating it.
☐ Minor changes have been made to improve reproduction quality.
• Points of view or opinions stated in this document do not necessarily represent official OERI position or policy.

GAO
Accountability * Integrity * Reliability

GAO/OCG-00-14G

CE 082 091

BEST COPY AVAILABLE

Preface

The federal government employs a diverse and knowledge-based workforce composed of individuals with a broad spectrum of technical and program skills and institutional memory. They are the government's human capital, its greatest asset.

To attain the highest level of performance and accountability, federal agencies depend on three enablers: people, process, and technology. The most important of these is people, because an agency's people define its character and its capacity to perform.

Social, economic, and technological changes have become a constant in our society and our world. Just as they have in the private sector, these changes inevitably affect the way government agencies must approach their work. Although the management challenges facing leaders in the public and private sectors often differ significantly, leaders in both areas are becoming acutely aware of how much they rely on their human capital to achieve results. To meet the changing environment, federal agencies need to give human capital a higher priority than ever before and modernize their human capital policies and practices. Agencies must, for example, become more competitive in attracting new employees with critical skills, especially in a tight labor market; create the kinds of performance incentives and training programs that motivate and empower employees; and build management-labor relationships that are based on common interests and the public trust. Modern human capital policies and practices offer the federal government a means to improve its economy, efficiency, and effectiveness to better serve the American people. As the nation's largest employer, the federal government needs to take the initiative on human capital and seize the opportunity to lead by example.

During the 1990s, Congress responded to long-standing shortcomings in the way federal agencies were managed by creating a framework for more businesslike and results-oriented management. The three major areas addressed by the reforms were financial management, information technology management, and performance-based management. The consensus needed to fill the remaining gap in that framework—strategic human capital management—has not yet emerged. But even in the absence of fundamental legislative change, agency leaders can still take practical steps to improve their human capital practices. The first step to this end is self-assessment.

What Is Human Capital?

Simply stated, human capital means people. There are, however, two key principles that are central to the human capital idea. First, people are assets whose value can be enhanced through investment. As with any

investment, the goal is to maximize value while managing risk. As the value of people increases, so does the performance capacity of the organization, and therefore its value to clients and other stakeholders. Second, an organization's human capital policies must be aligned to support the organization's "shared vision"—that is, the mission, vision for the future, core values, goals and objectives, and strategies by which the organization has defined its direction and its expectations for itself and its people. All human capital policies and practices should be designed, implemented, and assessed by the standard of how well they help the organization pursue its shared vision.

At most federal agencies, the lion's share of operating costs is devoted to the workforce. For this reason, employees traditionally have been viewed through the budgetary lens, and therefore they have often been seen as costs to be cut rather than as assets to be valued. However, high-performance organizations in both the private and public sectors recognize that an organization's people largely determine its capacity to perform. These organizations understand that the value of the organization is dependent on the value of its people.

Enhancing the value of employees is a win-win goal for employers and employees alike. The more an organization recognizes the intrinsic value of each employee; the more it recognizes that this value can be enhanced with nurturing and investment; the more it recognizes that employees vary in their talents and motivations, and that a variety of incentive strategies and working arrangements can be created to enhance each employee's contributions to organizational performance, the more likely the organization will be to appreciate the variety of employee needs and circumstances and to act in ways that will make sense in both business and human terms.

Why Should Agencies Conduct a Human Capital Self-Assessment?

Self-assessment is the starting point for creating "human capital organizations"—agencies that focus on valuing employees and aligning their "people policies" to support organizational performance goals. Part of the impetus for creating human capital organizations comes from the Government Performance and Results Act (GPRA), which requires agencies to pursue performance-based management, including strategic planning, results-oriented goalsetting, and performance measurement.[1] One of the emerging challenges for agency leaders will be to add to their traditional policy portfolios an understanding of the importance of

[1] Executive Guide: Effectively Implementing the Government Performance and Results Act (GAO/GGD-96-118, June 1996).

performance management issues—including human capital issues—to the accomplishment of their agencies' policy and programmatic goals.[2]

Although GPRA gives agencies the impetus for tailoring their human capital systems to their specific missions, visions for the future, core values, goals and objectives, and strategies, it is up to the agencies themselves to follow through on the opportunity. If high performance and accountability depend on the three enablers—people, process, and technology—then it is useful, first and foremost, for any agency to have a clear and fact-based understanding of its human capital situation. There is no single recipe for successful human capital management. However, we have identified a number of human capital elements and underlying values that are common to high-performance organizations.[3] Federal agencies that seek to comply with the spirit of performance-based management should scan their human capital systems to see if these elements have been addressed.

Another advantage to doing a human capital self-assessment is that it will help agency leaders understand the strengths and limitations of their human capital information systems. Any self-assessment should be based—to the extent possible—on valid and reliable data regarding such matters as hiring, diversity, retention, promotions, succession cycles, and performance incentives. (See app. IV for a list of useful quantitative measures.) These data can help the agency develop a profile of its human capital, providing useful historical and prospective views. Further, because sound human capital information can spotlight areas of concern before they develop into crises, gathering these data is an indispensable part of effective risk management. Conducting a human capital self-assessment will give agency leaders an idea of the adequacy of the data currently being gathered and of the gaps that may need to be filled.

As will be discussed later in this document, our human capital self-assessment checklist is intended to be a relatively simple diagnostic tool, meant primarily to capture senior leaders' informed views of their agencies' human capital policies and practices. As a next step, we intend to develop a supporting methodology that, while using the same conceptual framework, will provide a more rigorous basis for human

[2] See Confirmation of Political Appointees: Eliciting Nominees' Views on Leadership and Management Issues (GAO/GGD-00-174, Aug. 11, 2000); and Human Capital: Managing Human Capital in the 21st Century (GAO/T-GGD-00-77, Mar. 9, 2000).

[3] For example, see Human Capital: Key Principles From Nine Private Sector Organizations (GAO/GGD-00-28, Jan. 31, 2000).

capital assessment. This "maturity model" will help agencies examine their human capital efforts through three stages: analyze and plan, implement change, and evaluate and continuously improve. We expect to develop, test, and make the new methodology available to agencies in fiscal year 2001.

The Bases for Our Approach to Self-Assessment

Our approach to self-assessment is based primarily on the two principles, mentioned earlier, that are central to the human capital idea: investing in employees, and aligning "people policies" to fulfill the organization's shared vision. Our approach to self-assessment (1) emphasizes investment in enhancing the value of individual employees and of the agency workforce as a whole; and (2) asks whether the agency has established, clearly defined, and communicated a shared vision (i.e., a mission, a vision for the future, core values, goals and objectives, and strategies) and aligned its resources and systems to support it.

These and other related human capital values underlie the framework we have constructed for self-assessment. We derived these values, first, from our work with leading organizations in the private sector and among governments at the state and local levels and abroad. (See "Eight Principles for Managing People," app. I; and "Key Human Capital Management Principles from Nine Private Sector Organizations," app. II). Second, we drew from the Malcolm Baldrige National Quality Award Program and the President's Quality Award Program. Both awards feature human capital values that are consistent with those we have identified in our work with leading organizations. (See "Baldrige Award and Presidential Quality Award Values," app. III).

In developing and refining our approach to self-assessment, we referred to other sources as well. These sources included (1) relevant parts of title 5 U.S.C., "Government Organization and Employees"; and 5 C.F.R., "Administrative Personnel"; and (2) GPRA, along with agency guidance contained in OMB Circular No. A-11; and Standards for Internal Control in the Federal Government (GAO/AIMD-00-21.3.1, November 1999).

We issued a discussion draft of this self-assessment checklist for human capital in September 1999.[4] We distributed the draft through direct mailings and by posting it on GAO's website. In addition, GAO officials pursued an extensive outreach program to build awareness of the product and to gain the views of senior federal managers; human capital experts and practitioners within and outside the federal community; and

[4] Human Capital: A Self-Assessment Checklist for Agency Leaders (GAO/GGD-99-179, Sept. 1999).

government auditors at the federal, state, and local levels. We received and accommodated informal comments from the Office of Personnel Management (OPM), the Office of Management and Budget (OMB), and the Merit Systems Protection Board (MSPB), as well as from experts with organizations such as the National Academy of Public Administration (NAPA) and the Society for Human Resource Management (SHRM).

In addition, during the past year, our evaluators have used the draft self-assessment checklist to help guide their inquiries into human capital issues across the federal government and at specific federal agencies, including the National Aeronautics and Space Administration, the Environmental Protection Agency, and the Social Security Administration. (See "Related GAO Products," app. V). GAO staff members have shared the document with officials at these agencies and others, some of whom have said they intended to make use of the checklist in their human capital planning efforts. Evaluators pursuing future GAO assignments related to human capital will use the newest version of the self-assessment checklist and apply the lessons learned in using the checklist over the past year. Finally, consistent with our policy to "lead by example," we applied the checklist to our own human capital policies and practices and are using the results to help guide our current and future human capital efforts.

Just as the government has begun adopting a more businesslike approach over the past decade involving financial, information technology, and performance-based management reforms, it will be necessary to consider what human capital approaches will best position the federal government for the 21st century. When enough agencies have assessed their human capital systems and identified both the opportunities available to them and whatever barriers may stand in the way of improvement, perhaps a better consensus will emerge on the needed reforms.

Over the past year, we have been encouraged by the growing urgency with which leaders in the executive and legislative branches have begun to address the federal government's human capital issues. In his fiscal year 2001 budget, the President included human capital management as a Priority Management Objective for the first time. In June 2000, he issued a memorandum to agency heads directing—among other things—that agencies include human capital management in their planning, budgeting, and mission evaluation, and specifically address human capital goals in their strategic and annual performance plans. In addition, Members of both Houses of Congress and on both sides of the aisle have expressed a growing interest in the way agencies are addressing the emerging human capital challenges of the new century and have encouraged our efforts to

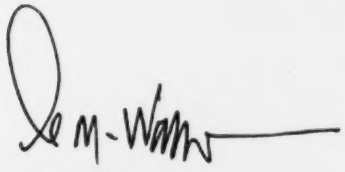
build awareness of these issues and help agencies improve the way they manage their people.

As we all have learned, changing times demand new thinking and new approaches to the way federal agencies do business. Designing, implementing, and maintaining effective human capital strategies will be critical to enhancing the goals of maximizing the performance and ensuring the accountability of the federal government.

We hope that agency leaders will put human capital in the forefront of their efforts to bring accountable, results-oriented management to government. If you have comments or questions about this self-assessment checklist or would like to explore opportunities for further contacts with GAO about planning, implementing, and evaluating strategic human capital management, please contact Victor S. Rezendes, Managing Director, or Carlotta C. Joyner, Director, Strategic Issues, at (202) 512-6806.

We are sending copies of this product to the appropriate congressional committees; the Honorable Janice R. Lachance, Director, Office of Personnel Management; and the Honorable Jacob J. Lew, Director, Office of Management and Budget. We will also make copies available to others upon request.

Individuals who made key contributions to this product included Stephen Altman, Michael Brostek, Jennifer S. Cruise, Thomas C. Fox, and Nancy Kingsbury.



David M. Walker
Comptroller General
of the United States

Contents

Preface		1
	What Is Human Capital?	1
	Why Should Agencies Conduct a Human Capital Self-Assessment?	2
	The Bases for Our Approach to Self-Assessment	4
Framework for Human Capital Self-Assessment		10
	The Five-Part Framework	10
	Cross-Cutting Considerations	10
Strategic Planning		13
	Strategic Planning: Establish the Agency's Mission, Vision for the Future, Core Values, Goals and Objectives, and Strategies	13
Organizational Alignment		15
	Organizational Alignment: Integrate Human Capital Strategies With the Agency's Core Business Practices	15
Leadership		17
	Leadership: Foster a Committed Leadership Team and Provide Reasonable Continuity Through Succession Planning	17
Talent		19
	Talent: Recruit, Hire, Develop, and Retain Employees with the Skills for Mission Accomplishment	19
Performance Culture		22
	Performance Culture: Empower and Motivate Employees While Ensuring Accountability and Fairness in the Workplace	22
Appendixes		
	Appendix I: Eight Principles for Managing People	28
	Appendix II: Key Human Capital Management Principles From Nine Private Sector Organizations	29
	Appendix III: Baldrige Award and Presidential Quality Award Values	32

Appendix IV: Useful Measures/Risk Indicators for Human Capital Management 34
Appendix V: Related GAO Products 36

Framework for Human Capital Self-Assessment

The Five-Part Framework

Our self-assessment framework has five parts. Each part contains at least two key questions for a quick assessment of the agency's human capital policies and practices in the respective area. The questions are followed by suggested sources of information or indicators; not every agency will have these sources on hand, and most of the conclusions that users arrive at can be expected to be somewhat subjective. (See app. IV for a list of useful qu: ntitative measures.)

The checklist is intended to be a relatively simple diagnostic tool rather than a methodologically rigorous evaluation. It is meant simply to capture senior leaders' informed views of their agencies' human capital policies and practices. Users may wish to develop a kind of "status check" of their agencies' human capital situation, in which case they may wish to respond to the questions with answers ranging from "not at all" to "generally not" to "partially" to "generally yes" to "definitely (or completely) yes." However, regardless of whether senior leaders choose to record their views in these terms, the overall picture that emerges through use of the checklist should help them begin a more systematic, in-depth, and continuous effort to evaluate and improve their agencies' human capital systems.

The five parts of the human capital self-assessment framework are as follows:

1. **Strategic Planning: Establish the agency's mission, vision for the future, core values, goals and objectives, and strategies.**
2. **Organizational Alignment: Integrate human capital strategies with the agency's core business practices.**
3. **Leadership: Foster a committed leadership team and provide reasonable continuity through succession planning.**
4. **Talent: Recruit, hire, develop, and retain employees with the skills for mission accomplishment.**
5. **Performance Culture: Empower and motivate employees while ensuring accountability and fairness in the workplace.**

Cross-Cutting Considerations

Although the self-assessment framework has five parts, certain unifying considerations should be kept in mind across all five:

All aspects of human capital are interrelated. The principles of effectively managing people are inseparable and must be treated as a whole. Any sorting of human capital issues may have a sound rationale behind it, but no sorting should imply that human capital issues can be compartmentalized and dealt with in isolation from one another.

Trust requires transparency. To pursue its shared vision effectively, the agency must earn the trust of its workforce by involving employees in the strategic planning process and by ensuring that the process is transparent—that is, consistently making it clear that the shared vision is the basis for the agency's actions and decisions.

Merit principles and other national goals still apply. Performance-based management does not supercede the merit principles or other national goals, such as veterans preference. A modern merit system will achieve a reasonable balance among taxpayer demands, employer needs, and employee interests.

Constraints and flexibilities need to be understood. The purpose of human capital self-assessment is to help agencies target areas in which to make changes in support of their organizational missions and other needs. Agencies that identify areas for improvement need to learn what constraints exist that apply to them and what flexibilities are available.[1]

Fact-based human capital management requires data. Federal agencies typically do not have the data required to effectively assess how well their human capital approaches support results. A more fact-based approach to human capital management will entail the development and use of data that demonstrate the effectiveness of human capital policies and practices—thereby improving managers' ability to maximize the value of human capital investments while managing the related risks.

The use of best practices requires prudent decisionmaking. Identifying best practices and benchmarking against leading organizations are both potentially useful and important pursuits. Federal agencies must be careful to recognize the unique characteristics and circumstances that make organizations different from one another and to consider the applicability of practices that have worked elsewhere. For example, the environments in which public and private sector organizations operate differ significantly; our work has shown that many management principles identified in the private sector are applicable to the federal sector, but

[1] For example, see HR Innovators' Tool Kit, Office of Personnel Management.

these differences need to be taken into account when agencies consider alternatives to their current management approaches.[2]

Attention to human capital must be ongoing. To be effective, strategic human capital management requires the sustained commitment and attention of senior leaders and managers at all levels of the agency. Managing the workforce is not a problem for which the organization can supply an answer and then move on. Rather, managers must continually monitor and refine their agencies' human capital approaches to ensure their ongoing effectiveness and continuous improvement.

[2] For a discussion of these differences, see Transforming the Civil Service: Building the Workforce of the Future—Results of a GAO-Sponsored Symposium (GAO/GGD-96-35, Dec. 20, 1995).

Strategic Planning

Strategic Planning: Establish the Agency's Mission, Vision for the Future, Core Values, Goals and Objectives, and Strategies

High-performance organizations begin by defining what they want to accomplish and what kind of organization they want to be. They define a "shared vision"—i.e., a mission, a vision for the future, core values, goals and objectives, and strategies—and communicate that shared vision clearly, constantly, and consistently. The agency's shared vision provides the standard for assessing the appropriateness and effectiveness of everything the agency does. In the area of human capital, for example, the agency should develop strategies to enhance the value of its employees and focus their efforts on the agency's shared vision. The effect should be in the best collective interests of employer and employee alike: the agency's capacity to achieve its shared vision will increase, while its employees will benefit from the incentives—tangible and intangible—of working for a high-performance organization.

Key Questions

1. Shared vision. Does the agency have a clearly defined and well-communicated "shared vision"—that is, a mission, vision for the future, core values, goals and objectives, and strategies by which the agency has defined its direction and its expectations for itself and its people?

Look for: A clear and coherent portrayal of the agency's shared vision in its strategic plan, annual performance plan, or other guiding documents. Indications that the agency has developed this shared vision with the involvement of clients and other stakeholders and in accord with scans of its internal and external environments. Indications that the agency has communicated and reinforced the relevance of its shared vision among all employees and created, as appropriate, effective strategies for managing change. Note: Guidance on GPRA requirements and key steps toward implementation is available in Executive Guide: Effectively Implementing the Government Performance and Results Act (GAO/GGD-96-118, June 1996); and in Agencies' Strategic Plans Under GPRA: Key Questions to Facilitate Congressional Review (GAO/GGD-10.1.16, May 1997).

2. Human capital focus. Has the agency created a coherent human capital strategy—that is, a framework of human capital policies, programs, and practices specifically designed to steer the agency toward achieving its shared vision—and integrated this strategy with the agency's overall strategic planning?

Look for: Discussions of the agency's human capital strategies in its strategic plan and annual performance plans or a separate strategic human capital planning document. An understanding that programmatic goals and strategies may create specific human capital needs that must be addressed if desired outcomes are to be accomplished. An indication that

agency leaders are accountable for attending to human capital issues, have given human capital management a high priority, and have involved line managers and appropriate employees at all levels in creating a human capital focus. Efforts taken to assess the agency's human capital management in light of its shared vision and periodic reassessments as part of a continuous effort to evaluate and improve its human capital systems. Established measures that provide meaningful data on the full range of human capital policies and practices and how these practices promote mission accomplishment. An indication that the agency has identified best practices or benchmarked elements of its human capital programs against high-performance organizations with similar missions and identified the constraints and flexibilities available to it. An evaluation of the agency's human resource information system (HRIS) and its capacity to provide relevant and reliable data for fact-based decisionmaking on human capital.

Organizational Alignment

Organizational Alignment: Integrate Human Capital Strategies With the Agency's Core Business Practices

High-performance organizations choose the best strategies for integrating their organizational components, activities, core processes, and resources to support mission accomplishment. Likewise, high-performance agencies align their human capital management systems—from the organizational level down to individual employees—with their strategic and program planning. As with any comparable investment of resources, the goal is to maximize value while managing risk. In the human capital area, this requires workforce planning that is explicitly linked to the agency's shared vision. It also requires that what has traditionally been called the "personnel" or "human resources (HR)" function undergo a fundamental reorientation, from being a strictly support function involved in managing personnel processes and ensuring compliance with rules and regulations, to taking a "place at the table" with the agency's top management team. Effective human capital professionals must have the appropriate preparation and experience not just to provide effective mission support, but to participate as partners with line managers and staff in developing, implementing, and assessing the agency's human capital approaches.

Key Questions:

1. Workforce planning. Does the agency have an explicit workforce planning strategy, linked to the agency's strategic and program planning efforts, to identify its current and future human capital needs, including the size of the workforce; its deployment across the organization; and the knowledge, skills, and abilities needed for the agency to pursue its shared vision?

Look for: A discussion of workforce planning in the agency's strategic or annual performance plans and reports, or a separate workforce planning document linked to the agency's strategic and program planning. Data from agency human resource information systems on such indicators as distribution of employees by pay level, attrition rates, retirement rates and projected eligibility by pay level, and ratios of managers to employees. Indications that the agency has identified the roles and core competencies needed to support its goals and service delivery strategies. An agency knowledge and skills inventory identifying current and future skills needs and gaps and that includes information on knowledge and skills by demographic cohort. Industry benchmarks in such areas as skills, education levels, and geographic and demographic trends.

2. Integrating the "HR" function. Does the agency rely on its "personnel" or "HR" professionals—more appropriately called human capital professionals—to (1) contribute a human capital perspective to the agency's broader strategic planning process; (2) provide integrated mission support, participate as partners with line managers, and reach out to other

organizational functions and components through facilitation, coordination, and counseling; and (3) lead or assist in the agency's workforce planning efforts and in developing, implementing, and assessing human capital policies and practices that will help the agency achieve its shared vision?

Look for: Testimonial evidence that the agency's human capital professionals were meaningfully involved in developing the agency's shared vision and in aligning the agency's human capital strategies with its strategic and program planning. A reflection in the agency's organizational chart of the human capital function's "place at the table" among senior management. Evidence that the agency's human capital function has been defined to include a meaningful role in developing, implementing, and assessing the agency's human capital strategies and that the function is appropriately staffed—in numbers, qualifications, and experience—to partner with others in the agency. Actions to ensure that human capital professionals are indeed prepared—i.e., through academic training, professional certification, or professional development opportunities—to fill the consulting role and to reach out to other organizational functions and components through facilitation, coordination, and counseling. Evidence that the human capital function effectively leverages external sources of human capital expertise as needed; indicators may include industry benchmarks on the kinds and scope of resources—both in-house and contractor—devoted to the human capital function, and the agency's own knowledge and skills inventory.

Leadership

Leadership: Foster a Committed Leadership Team and Provide Reasonable Continuity Through Succession Planning

A committed senior leadership team is essential to fostering an agency's shared vision (i.e., its mission, vision for the future, core values, goals and objectives, and strategies), aligning organizational components so that the agency can best pursue this vision, and building a commitment to the vision at all levels of the organization. To become a high-performance organization, an agency needs senior leaders who are drivers of continuous improvement and whose styles and substance are in accord with the way the agency sees its mission and its own character. To create a workforce that shares this vision and is aware of the contribution that each employee can and must make toward achieving it, the agency's senior leaders must work as a team to convey a clear and consistent portrayal of this vision throughout the organization by their words and deeds and the example they set. Political appointees and career managers may bring differing values to the team, but they must work at building mutual understanding and trust and at committing themselves to a shared set of goals for their agency. These goals can take years to achieve, so the agency must have a succession planning strategy that ensures a sustained commitment and continuity of leadership even as individual leaders arrive or depart.

Key Questions:

1. Defining leadership. Has the agency defined the kind of leaders it wants (i.e., their roles, responsibilities, attributes, and competencies) and the broad performance expectations it has for them in light of the agency's shared vision?

Look for: An explicit alignment of leaders' performance standards with the agency's shared vision, as contained in SES contracts or other performance agreements between the head of the agency and top executives. Indications that the agency uses its leadership standards when making hiring and executive development decisions. Also, industry benchmarks for executive-level performance management at organizations with similar missions and circumstances.

2. Teamwork and communications. Do senior leaders pursue an explicit strategy to promote teamwork, communicate the agency's shared vision in clear and consistent terms to all levels of the organization, and receive feedback from employees?

Look for: Efforts by the agency's senior leaders to promote teamwork, reinforce a shared vision for leading the agency, and integrate political and career leaders into a cohesive leadership team. An agencywide communications strategy, including opportunities for feedback from new,

existing, and exiting employees. Results of focus groups or employee surveys.

3. Ensuring continuity. Does the agency take steps to ensure reasonable continuity of leadership through executive succession planning?

Look for: A formal succession plan, or a discussion of succession planning in other agencywide strategic or human capital planning documents, that includes a review of its current and emerging leadership needs in light of its strategic and program planning and identifies sources of executive talent both within and outside the agency. Investments in an executive development program that includes planned developmental opportunities, learning experiences, and feedback for executive candidates. Selection criteria for executive candidates that are specifically linked to the agency's shared vision and the competencies and broad expectations it has for its leaders. Information from the agency's human resource information systems on the attrition rates, retirement eligibility, and retirement rates of its executives. Statistics on the percentage of leaders brought in through external recruitment or promoted internally. Evidence that the agency has an active executive development program, supported by agency leaders through such means as mentoring and shadowing, and making use of opportunities such as the Presidential Management Intern (PMI) Program and the Federal Executive Institute.

Talent

Talent: Recruit, Hire, Develop, and Retain Employees with the Skills for Mission Accomplishment

A high-performance organization demands a dynamic, results-oriented workforce with the talents, multidisciplinary knowledge, and up-to-date skills to enhance the agency's value to its clients and ensure that it is equipped to achieve its mission. Because mission requirements, client demands, technologies, and other environmental influences change rapidly, a performance-based agency must continually monitor its talent needs. It must be alert to the changing characteristics of the labor market. It must identify the best strategies for filling its talent needs through recruiting and hiring and follow up with the appropriate investments to develop and retain the best possible workforce. Its compensation and benefits programs, flexibilities, facilities, services, and work/life arrangements should be viewed from the perspective of how well they help the agency compete for and retain the best talent available and then elicit the best mission performance from that talent. In addition, this talent must be continuously developed through education, training, and opportunities for continued growth. The agency must match the right people to the right jobs and, in the face of finite resources, be prepared to employ matrix management principles, maintaining the flexibility to redeploy its human capital and realigning structures and work processes to maximize economy, efficiency, and effectiveness. Structures and work arrangements must be fashioned to avoid stovepiping (or "siloing") and draw upon the strengths of the various organizational components. Cross-functional teams, including "just in time teams" and "virtual teams" whose members may not work in the same physical location, can be used as a flexible means of focusing talent on specific tasks.

Key Questions:

1. Recruiting and hiring. Does the agency have a recruiting and hiring strategy that is targeted to fill short- and long-term human capital needs and, specifically, to fill gaps identified through its workforce planning efforts?

Look for: A formal recruiting and hiring plan or discussion of recruiting and hiring in other agencywide strategic or human capital planning documents. An explicit link between the agency's recruiting efforts and the skill needs it has identified. An active recruiting program, featuring the involvement of senior leaders and line managers, and making use of strategies such as campus visits, internships, PMIs, and outreach to colleges and universities with significant minority populations. Indications from managers that recruits are of high quality and are being brought on board in a timely fashion. Statistics from agency files on the average time taken to recruit and hire; comparable industry benchmarks. Evidence that agency leaders are actively overseeing recruiting and hiring programs to

ensure fair and unbiased hiring; demographic statistics on the agency's diversity profile over time.

2. Training and professional development. Does the agency make appropriate investments in education, training, and other developmental opportunities to help its employees build the competencies needed to achieve the agency's shared vision?

Look for: A formal training and professional development strategy, or a discussion of training and development in other agencywide strategic or human capital planning documents. Individual development plans for employees at all levels. Adequate opportunities for career advancement, an equitable promotion system, and career ladders that take into account the agency's technical and supervisory/managerial needs. An explicit link between the agency's training offerings and curricula and the competencies identified by the agency for mission accomplishment. Indications that the agency is making fact-based determinations of the impact of its training and development programs and, where possible, measuring the return on its investment. Testimonial evidence that employees are encouraged to identify and take advantage of training and professional development activities and that the available training is relevant and professionally rewarding. Percentage of agency's operating budget spent on training; comparable industry benchmarks.

3. Workforce deployment. Is the deployment of the agency's workforce appropriate to mission accomplishment and keyed to efficient, effective, and economic operations?

Look for: A discussion of workforce deployment in the agency's workforce plan or other strategic planning documents, with decisions based on ensuring that the workforce is deployed appropriately—both geographically and organizationally—to support organizational goals and strategies. Consideration in these or similar documents of human capital management issues relating to the use of contractors, including whether the agency has the expertise available to manage the cost and ensure the quality of activities that have been outsourced. Indications that the agency makes flexible use of its workforce, putting the right employees in the right roles according to their skills, relying on staff drawn from various organizational components and functions, and using "just-in-time" or "virtual" teams to focus the right talent on specific tasks.

4. Compensation. Does the agency's compensation system help it attract, motivate, retain, and reward the people it needs to pursue its shared vision?

Look for: Indications that the agency has examined its compensation system and considered changes in light of its human capital needs, including skills-based compensation, and identified relevant constraints and flexibilities. Evidence that consideration has been given to the various opportunities for making compensation packages more competitive, such as repayment of student loans and financing of education while on the job. Feedback from recruits to whom hiring offers have been made. Results of employee focus groups or surveys on compensation. Agency data on number and amount of signing (or other) bonuses given; use of quality step increases, number and amount of bonuses and spot awards; availability of promotions. Industry benchmarks on compensation and information from Bureau of Labor Statistics' Occupational Outlook Handbook on average salary and projected demand for given occupations.

5. Employee-friendly workplace. Does the agency provide the flexibilities, facilities, services, and work/life programs to help it compete for talent and enhance employee satisfaction and commitment to the agency and its shared vision?

Look for: Efforts to promote a more flexible workforce, including consideration of flexible work schedules (i.e., part-time work arrangements, job sharing, and flex-time), flexiplace, and business-casual dress. Safe, secure, and healthful physical facilities. Availability of career counseling and development services. Indications that the agency has considered and, as appropriate, arranged for other services and amenities employees may find necessary or desirable, such as child- or elder-care, fitness centers, parking facilities, or subsidies for using mass transit. Benchmarking data on these practices from high-performing public and private sector organizations with comparable missions and circumstances.

Part 5

Performance Culture

Performance Culture: Empower and Motivate Employees While Ensuring Accountability and Fairness in the Workplace

High-performance organizations foster a work environment in which people are empowered and motivated to contribute to continuous learning and improvement and mission accomplishment and that provides both accountability and fairness for all employees. A high-performance agency's approach to its workforce is inclusive and draws on the strengths of employees at all levels and of all backgrounds. It maintains a workplace in which honest two-way communications and fairness are a hallmark, perceptions of unfairness are minimized, and workplace disputes are resolved by fair and efficient means. Its line managers and supervisors, who may be given greater human capital decisionmaking authority in a performance environment, must be sufficiently prepared and appropriately trained to be accountable for their decisions. High-performance organizations also recognize that all employees—both those involved directly in the mission and those involved in mission support—help create organizational value and that job processes, tools, and mission support arrangements must be tailored to support mission accomplishment. A dedication to continuous learning and improvement can help an agency not only to respond to change but also to anticipate change, create new opportunities for itself, and pursue a shared vision that is both ambitious and achievable. Incentives are particularly important in steering the workforce; they must be results-oriented, client-based, realistic, and subject to balanced measures that reveal the multiple dimensions of performance. Incentives should be part of a performance management system under which employees' performance expectations are aligned with the agency's mission, and in which personal accountability for performance is reinforced by both rewards and consequences. Because agencies are increasingly technology-driven and knowledge-based, high-performing agencies ensure that their employees have the right information technology resources to do their work and to gather and share information.

Key Questions:

1. Performance management. Is the agency's performance management system designed to improve individual and team performance and to steer the workforce toward embodying and effectively pursuing the agency's shared vision?

Look for: A description in the agency's personnel policy manual or other documents of the design and intent of its performance management system, with explicit emphasis on performance improvement and on linking individual and team performance to the agency's shared vision; a reflection of varied performance considerations, such as client demands, resource limits, technology use, and level of effort; and explicit performance-based rewards and consequences. Descriptions of the

agency's means of (1) aligning employees' performance expectations with the competencies and performance levels needed to support the agency's mission, goals and objectives, and strategies; (2) establishing valid, reliable, results-oriented measures of individual and group performance; and (3) providing ratings and feedback that meaningfully differentiate among performers and provide the basis for effective performance incentives. Indications that nonperformers are held accountable and that agency leaders support managers and supervisors who give employees frank and constructive feedback on their performance—including, to the extent appropriate, their performance relative to that of their peer group—and take performance actions where appropriate. Copies of evaluation forms for employees at various levels and positions. Analyses of agency performance ratings data (mean, mode, and standard deviation) drawn from the agency's human resource information systems or from the Civilian Personnel Data File. Feedback from managers and staff on the meaningfulness and effectiveness of the performance management system and its return on investment.

2. Performance incentives. Are meaningful performance incentives in place to support the agency's performance management system?

Look for: Performance incentives operating at the organizational, team, and individual levels. Indications that incentives are clearly and meaningfully linked to the performance management system and that incentives are results-oriented, client-based, realistic, and subject to balanced measures that reveal the multiple dimensions of performance. Feedback from managers and employees on the equity, adequacy, and effectiveness of the agency's performance incentives system. Data on the agency's investments in bonuses, spot awards, and other tangible incentives over time; benchmarking against high-performance organizations with similar missions and circumstances.

3. Continuous learning and improvement. Does the agency encourage and motivate employees to contribute to continuous learning and improvement?

Look for: A statement in the agency's strategic plan or other documents of the value placed on continuous learning and improvement. Training and mentoring programs specifically aimed at promoting continuous learning and improvement. An active knowledge management effort featuring programs and tools for sharing information and creating institutional knowledge that can be readily retrieved by or disseminated to staff. Ongoing opportunities, such as employee suggestion programs, for

employees to contribute their views on the agency's shared vision and strategies for achieving it, including innovative ideas and process improvements. Indications that agency leaders act on employees' suggestions. Testimonial evidence that employee initiatives to build institutional knowledge are encouraged—examples might include level of employee participation in professional organizations or incidence of speaker programs organized by employees to raise the staff's knowledge of key issues. Feedback from employees on their perceptions of the organization's learning environment. Efforts to identify best practices in continuous learning and knowledge management among organizations with comparable missions and service requirements.

4. Managers and supervisors. Are managers and supervisors expected, prepared, and trained to help steer the workforce toward the pursuit of the agency's shared vision?

Look for: Indications drawn from managerial and supervisory position descriptions and performance evaluations that selections, promotions, and performance evaluations are based to a significant extent on the human capital competencies needed to support the agency's shared vision. Availability of and requirements for training in legal responsibilities of supervisors and "people skills," such as employee motivation and conflict avoidance and resolution. Feedback from employees, including 360-degree appraisals where applicable, on the extent to which managers and supervisors show leadership in support of the agency's shared vision and in motivating and enabling all employees to pursue it.

5. Job processes, tools, and mission support. Are job processes, tools, and mission support structures tailored to help employees effectively, economically, and efficiently pursue their work?

Look for: Indications that decisions involving new core business processes, strategies, and tools have been designed to support quality, productivity, and accountability. Evidence that the agency has considered alternative approaches and tools drawn from "best practice" organizations with similar missions. Objective measures of quality and productivity and testimonial evidence from employees that their job processes and tools effectively support their efforts. Mission support structures and strategies that are based on input from managers and staff both in mission and mission support roles and that recognize the contributions of all agency employees in building the value of the organization to its clients.

6. Information Technology. Are employees making the best use of information technology to perform their work and to gather and share knowledge?

Look for: The agency's information technology plan, with emphasis on the alignment of the agency's information technology programs with its mission, goals, and strategies. Feedback from employees that they have the opportunity, incentives, support, and training to make the appropriate use of technology to do their work and to acquire and share knowledge. Data on the agency's investments—financial and human—in information technology over time and analysis of the return on these investments in terms of economy, efficiency, and service delivery. Benchmarking against organizations with similar missions and service requirements.

7. Inclusiveness. Does the agency maintain an environment characterized by inclusiveness and a variety of styles and personal backgrounds and that is responsive to the needs of diverse groups of employees?

Look for: A written affirmative action policy or discussion of inclusiveness in the agency's human capital plan or other documents. Training for staff in team building and conflict avoidance and resolution. Employee feedback on the acceptance and encouragement of diverse styles and personal backgrounds in the workplace, as well as on perceptions of unequal treatment. Statistics on grievances and EEO complaints and findings over time. An alternative dispute resolution (ADR) program that draws upon internally or externally based ombudsmen, mediators, or other trained neutrals to help resolve workplace conflicts and lessen the incidence of formal cases, i.e., grievances, discrimination complaints, and appeals to adjudicatory agencies. Statistics on ADR usage and the effects of the agency's ADR efforts on the incidence of new cases and the time needed to resolve them.

8. Employee and labor relations. Are relations between the agency's workforce and its management grounded in a mutual effort to achieve the agency's shared vision?

Look for: Feedback from employees on their commitment to the agency's shared vision and their views of management's efforts at communication and coordination. If the agency has collective bargaining agreements, feedback from managers, union representatives, and other employees on the extent to which they agree on the agency's shared vision and the

means of achieving it, and the extent to which they work together to resolve problems and conflicts fairly and effectively.

Eight Principles for Managing People

In April 1995, GAO sponsored a 2-day symposium of 32 leaders from leading private sector organizations and governments at the state and local levels and abroad to discuss their approaches toward managing people—the principles they employed, the changes they had made, and the lessons they had learned.[1]

According to many of the symposium participants, the demand for faster, cheaper, and better service delivery led their organizations to develop new and more flexible ways of managing people. On the basis of the symposium proceedings, GAO discerned eight interrelated principles common to these organizations:

1. **Value people as assets rather than as costs.**
2. **Emphasize mission, vision, and organizational culture.**
3. **Hold managers responsible for achieving results instead of imposing rigid, process-oriented rules and standards.**
4. **Choose an organizational structure appropriate to the organization rather than trying to make "one size fit all."**
5. **Instead of isolating the "personnel function" organizationally, integrate human resource management into the mission of the organization.**
6. **Treat continuous learning as an investment in success rather than as a cost to be minimized.**
7. **Pursue an integrated rather than an ad hoc approach to information management.**
8. **Provide sustained leadership that recognizes change as a permanent condition, not a one-time event.**

As GAO reported at the time, the sense of the symposium participants was that the eight principles should be treated as a whole and that effective human resource management and effective business practices are inseparable.

[1] Transforming the Civil Service: Building the Workforce of the Future—Results of A GAO-Sponsored Symposium (GAO/GGD-96-35, Dec. 20, 1995)

Key Human Capital Management Principles From Nine Private Sector Organizations

In 1999, GAO was asked to identify what common principles, if any, underlay the human capital strategies and practices of private sector organizations regularly cited as leaders in the area of human capital management. The objectives of the assignment were to identify these principles and to offer illustrative examples that federal managers might consider as they work to improve their agencies' human capital approaches.[1]

To gather this information, GAO interviewed representatives of nine private sector organizations that were recognized in the current literature as being innovative or effective in strategically managing their human capital: Federal Express Corp.; IBM Corp.; Marriott International, Inc.; Merck and Co., Inc.; Motorola, Inc.; Sears, Roebuck and Company; Southwest Airlines Co.; Weyerhaeuser Co.; and Xerox Corp., Document Solutions Group. On the basis of the information they provided, GAO identified 10 underlying and interrelated principles of human capital management that were common to the 9 organizations:

1. **Treat human capital management as being fundamental to strategic business management.** Integrate human capital considerations when identifying the mission, strategic goals, and core values of the organization well as when designing and implementing operational policies and practices.

2. **Integrate human capital functional staff into management teams.** Include human capital leaders as full members of the top management team rather than isolating them to provide after-the-fact support. Expand the strategic role of human capital staff beyond that of providing traditional personnel administration services.

3. **Leverage the internal human capital function with external expertise.** Supplement internal human capital staff's knowledge and skills by seeking outside expertise from consultants, professional associations, and other organization, as needed.

4. **Hire, develop, and sustain leaders according to leadership characteristics identified as essential to achieving specific missions and goals.** Identify the leadership traits needed to achieve high performance of mission and goals; and build and sustain the organization's pool of leaders through recruiting, hiring, development,

[1] See Human Capital: Key Principles From Nine Private Sector Organizations (GAO/GGD-00-28, Jan. 31, 2000).

retention, and succession policies and practices targeted at producing leaders with the identified characteristics.

5. **Communicate a shared vision that all employees, working as one team, can strive to accomplish.** Promote a common understanding of the mission, strategic goals, and core values that all employees are directed to work as a team to achieve. Create a line-of-sight between individual contributions and the organization's performance and results.

6. **Hire, develop, and retain employees according to competencies.** Identify the competencies—knowledge, skills, abilities, and behaviors—needed to achieve high performance of mission and goals, and build and sustain the organization's talent pool through recruiting, hiring, development, and retention policies and practices targeted at building and sustaining those competencies.

7. **Use performance management systems, including pay and other meaningful incentives, to link performance to results.** Provide incentives and hold employees accountable for contributing to the achievement of mission and goals. Reward those employees who meet or exceed clearly defined and transparent standards of high performance.

8. **Support and reward teams to achieve high performance.** Foster a culture in which individuals interact and support and learn from each other as a means of contributing to the high performance of their peers, units, and the organization as a whole. Bring together the right people with the right competencies to achieve high performance as a result, rather than in spite, of the organizational structure.

9. **Integrate employee input into the design and implementation of human capital policies and practices.** Incorporate the first-hand knowledge and insights of employees and employee groups to develop responsive human capital policies and practices. Empower employees by making them stakeholders in the development of solutions and new methods of promoting and achieving high performance of organizational missions and goals.

10. **Measure the effectiveness of human capital policies and practices.** Evaluate and make fact-based decisions on whether human capital policies and practices support high performance of

mission and goals. Identify the performance return on human capital investments.

Baldrige Award and Presidential Quality Award Values

The Malcolm Baldrige National Quality Award is given annually to recognize U.S. private sector organizations for performance excellence. The award promotes (1) awareness of performance excellence as an increasingly important element in competitiveness and (2) information sharing of successful performance strategies and the benefits derived from using these strategies. The Department of Commerce's National Institute of Standards and Technology (NIST) manages the Baldrige National Quality Award Program.

The President's Quality Award Program (PQA) is administered by the Office of Personnel Management. The program was created in 1988 and includes two awards: the Presidential Award for Quality and the Award for Quality Improvement. It was designed to recognize federal organizations that have documented high-performance management systems and approaches.

Annually, each award program publishes a set of criteria for applicants based upon a set of core values.[1] The PQA, which is based on the Baldrige Award concept, features the same criteria, with relatively minor modifications to fit the federal sector context. The values include:

1. **Visionary Leadership**
2. **Customer Driven**
3. **Organizational and Personal Learning**
4. **Valuing Employees and Partners**
5. **Agility**
6. **Focus on the Future**
7. **Managing for Innovation**
8. **Management by Fact**
9. **Public Responsibility and Citizenship**

[1] Baldrige National Quality Program, "2000 Criteria for Performance Excellence," National Institute of Standards and Technology and The President's Quality Award Program, "2001 Information and Application," Office of Personnel Management.

10. Focus on Results and Creating Value

11. Systems Perspective

Useful Measures/Risk Indicators for Human Capital Management

Useful Measures/Risk Indicators for Human Capital Management

Agencies that want to assess and make fact-based decisions involving their human capital may look at a variety of quantifiable data, including, but not limited to, those listed below. Valid and reliable data are crucial, not just for maximizing the value of human capital but for managing risk as well. The kinds of data listed here can be used to spotlight risk factors—such as unacceptably high turnover among employees in mission-critical occupations or low acceptance rates among job candidates to whom positions are offered—and alert agency leaders to the need for corrective actions. Leaders may want to determine whether human capital data such as these are available, how frequently they are updated, and whether they are consistently used for planning and decisionmaking.

- Size and shape of the workforce including, but not limited to: the distribution of employees by pay level, attrition rates, retirement rates and projected eligibility by employee pay level, and ratio of managers to employees.
- Attrition rates, retirement rates, and projected retirement eligibility of agency leaders.
- Skills inventory including, but not limited to: current and potential gaps in skills, distribution of skills by demographic cohort, and level of education of the workforce.
- Data on numbers and deployment of temporary employees and contract workers.
- Data on the dispersal of performance appraisal ratings, such as the mean, mode, and standard deviation of scores.
- Average period required to fill vacancies, and trends over time.
- Data on the number, size, and costs of bonuses, awards, and other incentives, and their distribution among segments of the workforce.
- Data from employee satisfaction surveys and focus groups.
- Data from exit interviews.
- Information technology expenses, such as equipment costs, contractor support, upgrades, and training.
- Statistics on grievances, EEO complaints, and findings over time.
- Number and types of cases handled and/or resolved via alternative dispute resolution (ADR) programs.
- The agency's total human capital cost in dollars and as a percentage of total operating budget.
- Percentage of operating budget spent on recruitment.
- Acceptance rates among job candidates to whom positions are offered.
- Costs of promotions, grade increases, and within-grade increases.

- Percentage of operating budget spent on training and the amount per employee, including information on how training resources are targeted among segments of the workforce.

In addition to reviewing internal data, agencies may find it useful to benchmark their human capital data against those of high-performing public and private sector organizations with comparable missions and circumstances.

Related GAO Products

*Human Capital: Design, Implementation, and Evaluation of Training at Selected Agencies (GAO/T-GGD-00-131, May 18, 2000).[1]

*Human Capital: Using Incentives to Motivate and Reward High Performance (GAO/T-GGD-00-118, May 2, 2000).

*Senior Executive Service: Retirement Trends Underscore the Importance of Succession Planning (GAO/GGD-00-113BR, May 12, 2000).

*United Nations: Reform Initiatives Have Strengthened Operations, but Overall Objectives Have Not Yet Been Achieved (GAO/NSIAD-00-150, May 10, 2000).

*Human Capital: Observations on EPA's Efforts to Implement a Workforce Planning Strategy (GAO/T-RCED-00-129, Mar. 23, 2000).

*Space Shuttle: Human Capital and Safety Upgrade Challenges Require Continued Attention (GAO/NSIAD/GGD-00-186, Aug. 15, 2000).

*Human Capital: Managing Human Capital in the 21st Century (GAO/T-GGD-00-77, Mar. 9, 2000).

*Human Capital: Strategic Approach Should Guide DOD Civilian Workforce Management (GAO/T-GGD-NSIAD-00-120, Mar. 9, 2000).

*SSA Customer Service: Broad Service Delivery Plan Needed to Address Future Challenges (GAO/T-HEHS/AIMD-00-75, Feb. 10, 2000).

*Human Capital: Key Principles From Nine Private Sector Organizations (GAO/GGD-00-28, Jan. 31, 2000).

Management Reform: Elements of Successful Improvement Initiatives (GAO/T-GGD-00-26, Oct. 15, 1999).

Federal Workforce: Payroll and Human Capital Changes During Downsizing (GAO/GGD-99-57, Aug. 13, 1999).

Managing for Results: Opportunities for Continued Improvements in Agencies' Performance Plans (GAO/GGD/AIMD-99-215, July 20, 1999).

[1] Asterisks denote GAO products in which the checklist for human capital self-assessment was applied or discussed.

The Results Act: An Evaluator's Guide to Assessing Agency Annual Performance Plans (GAO/GGD-10.1.20, Apr. 1998).

Agencies' Annual Performance Plans Under the Results Act: An Assessment Guide to Facilitate Congressional Decisionmaking (GAO/GGD/AIMD-10.1.18, Feb. 1998).

Alternative Dispute Resolution: Employers' Experiences With ADR in the Workplace (GAO/GGD-97-157, Aug. 12, 1997).

Agencies' Strategic Plans Under GPRA: Key Questions to Facilitate Congressional Review (GAO/GGD-10.1.16, May 1997)

Executive Guide: Effectively Implementing the Government Performance and Results Act (GAO/GGD-96-118, June 1996).

Transforming the Civil Service: Building the Workforce of the Future—Results of a GAO-Sponsored Symposium (GAO/GGD-96-35, Dec. 20, 1995).

Retention Allowances: Usage and Compliance Vary Among Federal Agencies (GAO/GGD-96-32, Dec. 11, 1995).

Federal Employee Redress: An Opportunity for Reform (GAO/T-GGD-96-42, Nov. 29, 1995).

Civil Service Reform: Changing Times Demand New Approaches (GAO/T-GGD-96-31, Oct. 12, 1995)

Federal Hiring: Reconciling Managerial Flexibility With Veterans' Preference (GAO/GGD-95-102, June 16, 1995).

Federal Quality Management: Strategies for Involving Employees (GAO/GGD-95-79), Apr. 18, 1995).

Federal Employment: How Government Jobs Are Viewed on Some College Campuses (GAO/GGD-94-181, Sept. 9, 1994).

Government Contractors: Measuring Costs of Service Contractors Versus Federal Employees (GAO/GGD-94-95, Mar. 10, 1994).

Federal Personnel: Employment Policy Challenges Created by an Aging Workforce (GAO/GGD-93-138, Sept. 23, 1993).

Federal Performance Management: Agencies Need Greater Flexibility in Designing Their Systems (GAO/GGD-93-57, Feb. 24, 1993).

Federal Employment: How Federal Employees View the Government as a Place to Work (GAO/GGD-92-91, June 18, 1992).

Senior Executive Service: Opinions About the Federal Work Environment (GAO/GGD-92-63, May 1, 1992).

The Changing Workforce: Comparison of Federal and Nonfederal Work/Family Programs and Approaches (GAO/GGD-92-84, Apr. 23, 1992).

The Changing Workforce: Demographic Issues Facing the Federal Government (GAO/GGD-92-38, Mar. 24, 1992).

Performance Management: How Well Is the Government Dealing With Poor Performers? (GAO/GGD-91-95, July 16, 1991).

Federal Recruitment and Hiring: Making Government Jobs Attractive to Prospective Employees (GAO/GGD-90-105, Aug. 22, 1990).

Ordering Copies of GAO Reports

The first copy of each GAO report and testimony is free. Additional copies are $2 each. Orders should be sent to the following address, accompanied by a check or money order made out to the Superintendent of Documents, when necessary. VISA and MasterCard credit cards are accepted, also. Orders for 100 or more copies to be mailed to a single address are discounted 25 percent.

Order by mail:

U.S. General Accounting Office
P.O. Box 37050
Washington, DC 20013

or visit:

Room 1100
700 4th St. NW (corner of 4th and G Sts. NW)
U.S. General Accounting Office
Washington, DC

Orders may also be placed by calling (202) 512-6000 or by using fax number (202) 512-6061, or TDD (202) 512-2537.

Each day, GAO issues a list of newly available reports and testimony. To receive facsimile copies of the daily list or any list from the past 30 days, please call (202) 512-6000 using a touch-tone phone. A recorded menu will provide information on how to obtain these lists.

Viewing GAO Reports on the Internet

For information on how to access GAO reports on the INTERNET, send e-mail message with "info" in the body to:

info@www.gao.gov

or visit GAO's World Wide Web Home Page at:

http://www.gao.gov

Reporting Fraud, Waste, and Abuse in Federal Programs

To contact GAO FraudNET use:

Web site: http://www.gao.gov/fraudnet/fraudnet.htm
E-Mail: fraudnet@gao.gov
Telephone: 1-800-424-5454 (automated answering system)

PRINTED ON RECYCLED PAPER

United States
General Accounting Office
Washington, D.C. 20548-0001

Bulk Rate
Postage & Fees Paid
GAO
Permit No. G100

Official Business
Penalty for Private Use $300

Address Correction Requested